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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/685,924	10/10/2000	Phillip Koh-Kwe Hsu	4034-62	4729

7590 11/12/2003

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EXAMINER

HAYES, JOHN W

ART UNIT

PAPER NUMBER

3621

DATE MAILED: 11/12/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application N .

09/685,924

Applicant(s)

HSU, PHILLIP KOH-KWE

Examiner

John W Hayes

Art Unit

3621

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 24 September 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1 and 3-15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 and 3-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10 October 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## **DETAILED ACTION**

### ***Status of Claims***

1. Applicant has amended claims 1, 3, 13 and 14 and canceled claim 2 in the amendment filed 24 September 2003

### ***Response to Arguments***

2. Applicant's arguments filed 24 September 2003 have been fully considered but they are not persuasive.

With respect to examiner's objection to the specification, see Page 5, lines 23-26 and Page 14, lines 9-13. These areas of applicant's specification refer to co-pending applications without identifying the serial or reference number.

With respect to the previous 112, rejection, examiner notes that claim 13 has actually been amended from the original claim, however, applicant's amendment filed 24 September 2003 does not indicate the changes made. For example, original claim 13 recited "the production database", "the staging database", and "the archive database". The current claim language recites "a production database", a staging database" and "an archive database". The current language overcomes the 112 rejection.

With respect to the claims, applicant argues that Kitamura et al merely disclose that the user interface is given notice of the real-time business information as it is received at the client device rather than receiving real-time business information. Examiner respectfully disagrees with this characterization of the Kitamura et al reference. Kitamura et al disclose receiving real-time business information from servers and wherein the business information is updated and changes with time on the user's display via a scrolling means. The information can contain headline information as well as the main body of the material (Figure 17; Col. 2, lines 20-29; Col. 3, lines 5-13; Col. 17, lines 56-65). Consistent with applicant's own specification, the real time data provided by an external data source may be news (See specification, Page 5, lines 7-10).

Applicant further asserts that none of the references disclose providing an interface for accessing system features, including real time market, which is displayed consistently independent of the user's location. Examiner respectfully disagrees and submits that Schneider et al disclose a user interface for accessing system features independent of the user's location (Figure 18; Col. 12 line 40-Col. 14 line 6; Col. 25 line 50-Col. 26 line 44). Examiner agrees that Schneider et al fail to explicitly disclose real-time market data, however, examiner has relied upon Kitamura et al to provide this teaching and Kitamura et al provide the motivation and benefits for including this feature on a user's display interface in a business environment. Kitamura et al indicate that the ability for employees to know in real time the business information received from servers while performing tasks such as word processing jobs would enable more efficient work (Col. 2, lines 24-39).

Applicant further argues that there is no suggestion or motivation to combine the references to provide entitlement based access to real-time market data since Schneider et al and Olden are designed primarily for use by administrators to provide access control without regard to user control. Examiner respectfully disagrees with this argument and believes there is sufficient motivation to combine the references to provide entitlement based access to real time market data. Schneider et al and Kitamura et al are both directed to providing entitlement based information to end users. Schneider et al does not teach providing real time business data, however, is concerned with providing information to end users related to "What's New" or "What's Hot" to post the latest information from others within the enterprise (Figure 18; Col. 26, lines 37-45). Thus, examiner submits that it would have been obvious to one having ordinary skill in the art to combine this teaching with other teachings related to providing the latest business information such as the teachings of Kitamura et al in order to apprise the employees of the latest relevant information in order to make business decisions. Also, Kitamura et al is particularly concerned with providing the user the ability to control his/her display interface in order to customize the display according to his/her preferences (Col. 21 line 54-Col. 22 line 8). Examiner submits that it would have been obvious to one having ordinary skill in the art to modify the teachings of Schneider et al and allow for user control of some of the customization features as taught by Kitamura et al. It has long been

Art Unit: 3621

known that allowing users to customize their display according to their individual preferences is generally desired.

Applicant further argues that none of the references disclose or suggest application of their teachings with regard to financial services. Examiner notes that the term "financial services" only appears in the preamble of claim 1. In response to applicant's arguments, the recitation "financial services" has not been given patentable weight because the recitation occurs in the preamble. A preamble is generally not accorded any patentable weight where it merely recites the purpose of a process or the intended use of a structure, and where the body of the claim does not depend on the preamble for completeness but, instead, the process steps or structural limitations are able to stand alone. See *In re Hirao*, 535 F.2d 67, 190 USPQ 15 (CCPA 1976) and *Kropa v. Robie*, 187 F.2d 150, 152, 88 USPQ 478, 481 (CCPA 1951).

### ***Specification***

3. The disclosure is objected to because of the following informalities: The specification references other applications, however, the application number is not identified (Page 5, lines 23-26 and Page 14, lines 9-13. Appropriate correction is required.

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1, 3-6, 8-9 and 11-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al, U.S. Patent No. 6,408,336 B1 in view of Kitamura et al, U.S. Patent no. 6,247,012 B1.

As per **Claims 1 and 14**, Schneider et al disclose an intranet system comprising:

Art Unit: 3621

- an interface application for accessing at least one internal data source and at least on external data source that a user is entitled to access (Figure 18; Col. 2, lines 4-10; Col. 5, lines 1-25; Col. 8, lines 23-27 and 41-47); and
- an authentication system for determining which features of a plurality of features that correspond to applications and the data source a user is entitled to access, displaying a list of the features available to the user based on entitlement, displaying data supplied by the data sources in response to a user selecting an available feature (Figure 18; Col. 8, lines 41-47; Col. 9, line 57-62; Col. 12 line 52-Col. 14 line 6; Col. 25, line 50-Col. 26 line 44).

Schneider et al further disclose user settings (Col. 10 lines 35-40) which are used to determine access privileges for the data, however, Schneider et al do not explicitly disclose setting a user specified preference profile and allowing a user to access the user preference profile to provide a user customized interface independent of the user's location. Kitamura et al disclose a information reception and delivery system using external information available from sources outside the internal network as well as internal information available from an intranet and further disclose limiting access to certain data and allowing a user to set a user preference profile and customize display features (Col. 21 line 35-Col. 22 line 7). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to set a user preference profile for the well known benefit of customizing the user's display according to their desires as taught by Kitamura et al.

Schneider et al further fail to specifically disclose that the external data source is a real-time market data source. Kitamura et al disclose wherein the external data source is a real-time market data source (Col. 2, lines 20-29; Col. 3, lines 5-13; Col. 17, lines 56-65). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to display real-time data such as real-time business data as taught by Kitamura et al so that users can be kept aware of business information. Kitamura et al indicate that the ability for employees to know in real time the business information received from servers while performing tasks such as word processing jobs would enable more efficient work (Col. 2, lines 24-39).

Art Unit: 3621

As per **Claim 3**, Schneider et al further disclose wherein the feature includes at least one of a newsletter (Figure 18 and Col. 26, lines 35-45).

As per **Claim 4**, Schneider et al further disclose wherein the interface application includes global functions selections (Figures 10 and 18).

As per **Claim 5**, Schneider et al further disclose a well known feature of most windows applications such as a scratchpad application for moving information between displays (Figure 10, cut and past Icons).

As per **Claim 6**, Schneider et al further disclose wherein the authentication system populates the interface application based on user entitlements (Figure 18; Col. 25 line-Col. 26 line 35).

As per **Claim 8**, Schneider et al further disclose a data source content management application (Figures 10-12 and associated text).

As per **Claim 9**, Schneider et al further disclose wherein the authentication system determines a user entitlement level to access the content management application (Col. 6, lines 9-35; Col. 23, lines 32-36).

As per **Claim 11**, Schneider et al fail to explicitly disclose wherein the content management application includes a content converter. Kitamura et al disclose a content converter such as a news reader mode display means for displaying content from various servers on the client terminal wherein the presentation of the displayed content is changed to a form more usable by the user (Col. 17, line 36-Col. 18 line 29). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include a means for converting the content as taught by Kitamura et al in order to present the content to the client in a form that is more useable.

As per **Claims 12 and 15**, Schneider et al further disclose wherein the content management application includes an administrator system for managing content of the internal data source (Col. 6, lines 9-35; Col. 23, lines 32-36).

As per **Claim 13**, Schneider et al fail to explicitly disclose wherein the administrator system controls movement of data between the production database, the staging database and the archive database, however, examiner takes Official Notice that it was well known in the art at the time of applicant's invention to allow an administrator of network to move data from one database to another in order to structure the data as necessary to implement company policies. For example, Kitamura et al disclose moving content from one database to another (Figures 3-4 and associated text).

6. Claims 7 and 10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al, U.S. Patent No. 6,408,336 B1 and Kitamura et al, U.S. Patent No. 6,247,012 B1, as applied above, and further in view of Olden, U.S. Patent No. 6,460,141 B1.

As per **Claim 7**, Schneider et al disclose a logon process in order to identify the user and access information, however, the combination of Schneider et al and Kitamura et al fail to explicitly disclose a single log-on process. Olden discloses a security and access management system for web-enabled and non-web-enabled applications and content on a network and further disclose a single sign on process using an encrypted cookie (Col. 23, lines 55-67). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to allow the user to utilize a single sign on process to eliminate the need for the user to submit his or her password multiple times.

As per **Claim 10**, Schneider et al disclose wherein the authentication system allows access at an administrator level (Col. 6, lines 9-35; Col. 23, lines 32-36), however, fail to specifically disclose allowing



Art Unit: 3621

access at a content provider level. Olden discloses wherein the system allows access at a content provider level such as a supplier with rights to view, purge or otherwise update factory floor data (Col. 7, lines 10-25 and 49-54). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to allow access at a content provider level in order to permit content providers to update or delete content that is erroneous.

### ***Conclusion***

7. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

8. Examiner's Note: Examiner has cited particular columns and line numbers in the references as applied to the claims below for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

9. The prior art previously made of record and not relied upon is considered pertinent to applicant's disclosure.

Art Unit: 3621

- Moshfeghi et al disclose a system for personalizing intranet web sites based upon user's needs, preferences and access privileges
- Bowman-Amuah discloses a system for creating views of information in an intranet system for particular users and further teaches customizing application interfaces for specific business applications as well as restricting access to functions within an application based upon a user security level
- Guheen et al disclose a system including a web application entitlement module for restricting access to specific web applications based upon user privileges
- Regnier et al disclose a client server system having control of client-based applications and teach that restrictions can be enforced by changing the program's own interface to the user under control of that user's profile
- Livnat discloses a system and method for controlled access to clients attempting to access stored on a network

Art Unit: 3621

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Hayes whose telephone number is (703)306-5447. The examiner can normally be reached Monday through Friday from 5:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jim Trammell, can be reached on (703) 305-9768.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

Any response to this action should be mailed to:

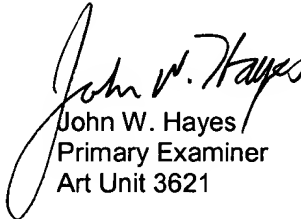
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or faxed to:

**(703) 872-9306** [Official communications; including  
After Final communications labeled  
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**(703) 746-5531** [Informal/Draft communications, labeled  
"PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington,  
VA, 7<sup>th</sup> floor receptionist.

  
John W. Hayes  
Primary Examiner  
Art Unit 3621

November 5, 2003